

5

Export Certification
Manual

Issuing Certificates

PPQ Form 578, Export Certificate, Processed Plant Products

Contents

Introduction	page 5-3-1
Purpose	page 5-3-2
Policies and Procedures	page 5-3-2
Definition of a Processed Product	page 5-3-2
Determining Eligibility	page 5-3-2
Import Requirements	page 5-3-3
Basis of Certification	page 5-3-4
Certification Decision	page 5-3-4
Additional Instructions	page 5-3-6
Completion	page 5-3-6
Distribution	page 5-3-11
Maintenance	page 5-3-11
Issuing Office	page 5-3-12
Export Certification Specialist Office	page 5-3-12
Example of PPQ Form 578, Export Certificate, Processed Plant Products	page 5-3-13

Introduction



PPQ 578 is **not** a phytosanitary certificate.

It is APHIS, PPQ policy that PPQ 578s can only be used to certify commodities which have been identified by Export Services as being free of plant pests as a consequence of processing. These commodities are specified in EXCERPT in the Processed Products Menu.

PPQ Form 578, Export Certificate, Processed Plant Products (PPQ 578), is an accountable certificate used to certify processed products. The PPQ 578 is **NOT** a phytosanitary certificate and does not serve as a substitute for one.

See [Figure 5-3-1 on page 5-3-13](#) for an example of a blank PPQ 578. Authorized Certification Officials (ACOs) are responsible for holding in strict confidence the information in these official documents, collecting user fees (if applicable), and maintaining an accountability system for tracking these documents. For details about these topics, see [Accountability](#) on [page 5-1-2](#), [Confidentiality](#) on [page 5-1-5](#), and [User Fees](#) on [page 6-15-1](#).

Purpose

The purpose of PPQ Form 578 is to assist U.S. exporters whose shipments may be placed in jeopardy if such a document is not issued. PPQ Form 578 was created by USDA-APHIS-PPQ to fill a void where no other USDA agency certification existed or could be adapted.

Policies and Procedures

Definition of a Processed Product

The definition of a processed product is, “A commodity derived from a plant that has been subjected to a procedure believed to have rendered the commodity free from plant pests.”

While there are some exceptions, this includes plants or plant products that have been processed beyond drying by ambient air. Since processed products are not considered to present a pest risk APHIS, PPQ’s policy is that processed plant products are not eligible for the phytosanitary certificates PPQ 577 and PPQ 579. This policy must be adhered to regardless of an importing country’s requirements for a processed product. Exceptions to this policy are determined by Export Services and will be noted in EXCERPT. Refer to [Table 4-2-1 on page 4-2-5](#) and [Table 4-2-2 on page 4-2-6](#).

Determining Eligibility

It is APHIS, PPQ policy that a PPQ 578 may only be used to certify commodities which have been identified by Export Services as being free of plant pests as a consequence of processing. These commodities are specified in EXCERPT in either the Processed Products Menu or in specific export summaries. Commodities not listed in EXCERPT as eligible for a PPQ 578 can not be certified using a PPQ 578.

The Processed Products Menu in EXCERPT is a list of processed commodities that are eligible for some type of certificate. The type of certificate the commodity is eligible for will be indicated; not all commodities on this list are eligible for a PPQ 578. The inclusion of a commodity on this list has no bearing on whether an importing country will accept a PPQ 578, unless an export summary indicates otherwise.

It is important to understand that the PPQ 578 is **not** a phytosanitary certificate (PC) and, except for unique circumstances, a country will not request a PPQ 578 to address their phytosanitary concerns. If a country has a phytosanitary concern they will require a PPQ 577 or PPQ 579, not a PPQ 578. ACOs must check the export summary of the importing country before deciding that the issuance of a PPQ 578 will meet the importing country's requirements. If a PPQ 578 is issued when the importing country requires a PC the consignment may be rejected.

If an exporter requests certification of a commodity that is not eligible for certification refer to [*Protocol for Requesting Review of Certification Eligibility*](#) on page 6-11-1.



The PPQ 578 is **not** a phytosanitary certificate and will not serve as a substitute for one.

Import Requirements

Regardless of whether a commodity is eligible for certification with a PPQ 578 it is important to know the importing country's import requirements. A country may specify that a PC is required for a particular commodity (regardless of APHIS-PPQ policy). If an importing country requires a phytosanitary certificate (PC), **and**,

- ◆ The commodity is not eligible for a PC, **but**,
- ◆ The commodity is eligible for a PPQ 578
- ◆ A PPQ 578 may be issued, **but**, exporters should be cautioned that the consignment may be refused entry without the PC.

This holds true even if the consignment is accompanied with a PPQ 578. Export Services may not be able to assist exporters whose shipment is certified using a PPQ 578 when a PC is required. No liability is attached to the USDA or to any of its representatives with respect to PPQ Form 578.



The PPQ 578 is not a phytosanitary certificate and will not serve as a substitute for one. **If an importing country requires a phytosanitary certificate (PC) AND the commodity is not eligible for a phytosanitary certificate but eligible for a PPQ 578, exporters should be cautioned that the consignment may be refused entry without the PC.**

Basis of Certification

Each PPQ 578 has the following preprinted certification statement, “This is to affirm that based upon inspection of submitted samples and/or by virtue of processing received, the plant products described above are believed to be free from injurious pests.”

Once it has been determined that a commodity is eligible for a PPQ 578 the certificate can be issued based on the certification statement and one of the following:

- ◆ Inspection of an official sample
- ◆ Inspection of a submitted sample
- ◆ Based solely on the processing the commodity has been subjected to



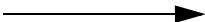
The PPQ 578 is not a phytosanitary certificate and will not serve as a substitute for one. The only country that may accept this certificate as a condition of entry is Korea. **If an importing country requires a phytosanitary certificate (PC) AND the commodity is not eligible for a phytosanitary certificate but eligible for a PPQ 578, exporters should be cautioned that the consignment may be refused entry without the PC.** This holds true even if the consignment is accompanied with a PPQ 578. Export Services may not be able to assist exporters whose shipments are certified using a PPQ 578 when a phytosanitary certificate is required. No liability is attached to the USDA or to any of its representatives with respect to PPQ Form 578.

Certification Decision

ACOs should use the appropriate export summary in EXCERPT to determine if the importing country has phytosanitary requirements. After determining the import requirements refer to the following decision tables.

- ◆ If the importing country requires a phytosanitary certificate, refer to “Action to Take if the Importing Country Requires a PPQ 577 or 579” [Table 5-3-1 on page 5-3-5](#).
- ◆ If the importing country **does not** require a phytosanitary certificate, refer to: “Action to Take if the Importing Country DOES NOT Require a PPQ 577 or 579” [Table 5-3-2 on page 5-3-5](#).

TABLE 5-3-1: Action to Take if the Importing Country Requires a PPQ 577 or 579

If the commodity:	And after checking the Processed Products Inquiry page in EXCERPT you determine that the commodity is:	Then:
Is eligible for a PPQ 577 or PPQ 579		Follow the procedures for issuing a PPQ 577 or PPQ 579
Is not eligible for a PPQ 577 or PPQ 579	Eligible for a PPQ 578	Caution the exporter that the importing country requires a PPQ 577 or PPQ 579 and that, while the commodity is eligible for a PPQ 578, the consignment may be refused entry without a phytosanitary certificate ¹
	Not eligible for a PPQ 578	<ul style="list-style-type: none"> ◆ Caution the exporter that the importing country requires a PPQ 577 or PPQ 579, that the commodity is not eligible for any type of PPQ certificate, and that the consignment may be refused entry without a phytosanitary certificate¹ ◆ Refuse to certify the consignment

- 1 If the exporter wants Export Services to review the eligibility of the commodity for a phytosanitary certificate, follow the [Protocol for Requesting Review of Certification Eligibility](#) on [page 6-11-1](#).

TABLE 5-3-2: Action to Take if the Importing Country DOES NOT Require a PPQ 577 or 579

If the importing country:	And the commodity is:	Then:
Requires a PPQ 578	Eligible for a PPQ 578	Follow the procedures for issuing a PPQ 578
	Not eligible for a PPQ 578	<ul style="list-style-type: none"> ◆ Caution the exporter that the importing country requires a PPQ 578 and that the consignment may be refused entry without the PPQ 578 ◆ Refuse to issue the PPQ 578¹
Does not require a PPQ 578	Eligible for a PPQ 578	<ul style="list-style-type: none"> ◆ Notify the exporter that the importing country does not require any PPQ certificate ◆ Follow the procedures for issuing a PPQ 578 if the exporter requests the PPQ 578
	Not eligible for a PPQ 578	<ul style="list-style-type: none"> ◆ Notify the exporter that the importing country does not require any PPQ certificate ◆ Refuse to issue the PPQ 578

- 1 If the exporter wants Export Services to review the eligibility of the commodity for a certificate, follow the [Protocol for Requesting Review of Certification Eligibility](#) on [page 6-11-1](#).



If an exporter requests a PPQ 578 but the importing country requires a PPQ 577 or PPQ 579 advise the exporter that even with a PPQ 578 the consignment may be refused entry.

Additional Instructions

- ◆ The name of the processed product entered in the block “**Product** (Kind, Quantity, and Weight)” on PPQ Form 578, must be the same as identified in the list of Processed Products Inquiry Products in EXCERPT. ACOs should check shipper documentation to ensure that the name of the product on the shipper’s documentation is the same as that entered on PPQ Form 578.
- ◆ Do not add scientific names.
- ◆ Additional declarations, official verifications and treatment information are prohibited on PPQ 578. **Do not** add statements about a replaced or superseded certificate, even though PPQ 578s may be replaced or superseded.
- ◆ The only time that a Letter of Credit (LC) number may be included on a PPQ 578 is when the packaging is clearly marked with the LC number. The LC number can then be included in the Block titled “Identification”. ACOs must inspect the cargo and verify that the LC number is marked on packages in order to include the LC number on the PPQ 578. When an exporter’s commercial documentation has requirements, with respect to certification, that is against APHIS policy, it is the exporter’s responsibility to have their commercial documents corrected; ACOs cannot make exceptions to APHIS policy based on an exporter’s Letter of Credit requirements.
- ◆ Continuation sheets may be used if necessary. Refer to **Continuation Sheets** on **page 5-1-7** for information on Continuation Sheets.

Completion

See **Table 5-3-3 on page 5-3-8** for specific instructions, techniques, and examples about how to complete PPQ Form 578. For general guidelines, see **General Guidelines for Completing Certificates** on **page 5-1-6**.



Important

Additional declarations and official verifications are **prohibited** on PPQ Form 578. Therefore **do not** add statements about a superseded certificate, even though ACOs may replace and void PPQ Form 578.

Treatments **cannot** be certified on PPQ Form 578.

If certification for freedom from animal diseases is required, refer exporters to USDA-APHIS-PPQ Veterinary Regulatory Services for letterhead statements to attest to freedom from specific animal diseases. **Do not** attach these statements to certificates.

If certification on radiation levels is required, refer exporters to Technical Office for International Trade, U.S. Department of Agriculture, Building 1070, BARC-EAST, Beltsville, Maryland 20705; phone 301-344-2845.

TABLE 5-3-3: Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products



If the block is:	Then follow these instructions to complete PPQ Form 578:
PLACE	<ul style="list-style-type: none"> ◆ ENTER the complete name of the city and State of the issuing office; do not abbreviate ◆ Each PPQ 578 can be prepared only by the issuing office accountable for that certificate ◆ VERIFY that the correct issuing office is listed for prepaid PPQ 578s (this block must already be completed when presented for issuance.)
DATE	<ul style="list-style-type: none"> ◆ ENTER the date when the certificate is prepared by an ACO ◆ ENTER date in correct order (month, day, year); never use European format ◆ SPELL OUT the month (January 1, 2004); never use numbers for the month and never abbreviate the year
NUMBER	DO NOT WRITE in this space; all PPQ Forms 578 are prenumbered to deter forgeries and to facilitate accountability
NAME AND ADDRESS OF EXPORTER	<ul style="list-style-type: none"> ◆ ENTER the complete name and address of the exporter (street or P.O. Box, city, State); at a minimum, include name, city, and State ◆ SPELL OUT names of cities and States (preferred) <div>  <p>Important</p> <p>Never enter more than one exporter's name and address.</p> <p>Do not use statements such as "In-care-of" (c/o), "Attention to", "Agent for", or "Notify".</p> <p>Exporter's address must be in the United States, a U.S. territory or a U.S. commonwealth.</p> </div>
NAME AND ADDRESS OF CONSIGNEE	<ul style="list-style-type: none"> ◆ ENTER the complete name and address of the consignee (person or company taking delivery of the commodity); at a minimum, include a name, city, and country ◆ SPELL OUT names of cities and countries (preferred) <div>  <p>Important</p> <p>Never enter more than one consignee's name and address; doing so would violate USDA-APHIS-PPQ policy to enter one consignee's name.</p> <p>Do not use statements such as "In-care-of" (c/o), "Attention to", "Agent for", or "Notify".</p> <p>Consignee's address must be in the importing country.</p> </div>
MEANS OF CONVEYANCE	<ul style="list-style-type: none"> ◆ ENTER the airline, railroad, truck line, or vessel name (Only pertains to exports to Canada or Mexico) ◆ ADD "or substitute" after a vessel's name (acceptable) ◆ If the specific name of the means of conveyance is unknown ENTER as appropriate, "airfreight", "ocean vessel", "railroad", or "truck line" ◆ If mail shipments ENTER "air mail", "surface mail", or "express mail"

TABLE 5-3-3: Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products (continued)





If the block is:	Then follow these instructions to complete PPQ Form 578:
POINT OF ENTRY	<ul style="list-style-type: none"> ◆ ENTER the point of entry (the first port of entry in the destination country) declared by the exporter ◆ ENTER “unknown” if a specific point of entry is not declared by the exporter ◆ SPELL OUT the names of cities (preferred) ◆ ENTER multiple points of entry (acceptable)
DESCRIPTION OF CONSIGNMENT	
PRODUCT (<i>Kind, Quantity, and Weight</i>)	<div>  <p>This is a critical block; never correct information.</p> <p>PPQ Form 578 can only be issued for eligible processed products listed in EXCERPT.</p> </div> <ul style="list-style-type: none"> ◆ ENTER the name of the processed product exactly as identified in the list of Processed Products Menu in EXCERPT; do not add scientific names ◆ LIST the amount and description of the shipping containers as declared by the exporter (see example below) <div> <p>EXAMPLE</p> <p>11 wooden crates 123 cardboard cartons 5 burlap bags If the shipment is a bulk shipment, then enter “In Bulk”</p> </div> <ul style="list-style-type: none"> ◆ SPELL OUT abbreviations ◆ LIST the declared weight in kilograms; if impracticable, LIST the weight in pounds ◆ If there is not enough space to list all entries ENTER “See attachment” and create a continuation sheet unless directed otherwise in the export summary (see Continuation Sheets on page 5-1-7). ◆ LINE OUT unused space

TABLE 5-3-3: Instructions to Complete PPQ Form 578, Export Certificate, Processed Plant Products (continued)

If the block is:	Then follow these instructions to complete PPQ Form 578:
IDENTIFICATION	<div>  <p>Important</p> </div> <p>This is a critical block; never correct information.</p> <p>Never ENTER “As Addressed” and “As Marked”</p> <ul style="list-style-type: none"> ◆ ENTER the markings as declared by the exporter, which may include markings applied to containers, cartons, bags, boxes, products, truck licenses, or railway cars ◆ If there are no distinguishing marks, ENTER “NONE” ◆ If there is not enough space to list all entries ENTER “See attachment” and create a continuation sheet unless directed otherwise in the export summary (see Continuation Sheets on page 5-1-7). ◆ A Letter of Credit (LC) number may be included on a PPQ 578 when the packaging is clearly marked with the LC number. The LC number can then be included in this block. ACOs must inspect the cargo and verify that the LC number is marked on packages in order to include the LC number on the PPQ 578.
ORIGIN	<ul style="list-style-type: none"> ◆ ENTER the origin as declared by the exporter; always specify the country of origin when the processed product originates from a foreign country ◆ SPELL OUT names of counties, State(s), or countries (preferred)
<p>WARNING</p> <p>This warning alerts all parties that any alteration, forgery, or unauthorized use of the Federal plant export certificate is subject to civil penalties or punishable by a fine or imprisonment.</p>	
<p>AUTHORIZATION</p>	
NAME OF AUTHORIZED OFFICER	<p>TYPE or PRINT the name of the ACO who will sign the certificate</p> <div>  <p>Important</p> </div> <p>Do not ADD titles.</p>
SIGNATURE	<ul style="list-style-type: none"> ◆ SIGN your name; only ACOs can authenticate a certificate; stamped signatures are not permitted ◆ Only one original signature is authorized <div>  <p>Important</p> </div> <p>DO NOT sign multiple copies of a certificate. If a number of originals are needed have the exporter make copies and suggest the copies be notarized by a Notary Public as true copies of the original.</p>

Distribution

Use [Table 5-3-4](#) to distribute copies of PPQ Form 578.

TABLE 5-3-4: Instructions to Distribute PPQ Form 578, Export Certificate, Processed Plant Products

If the copy is:	Then:
Part 1—Shipper's Original (white with blue microprint background)	1. If present and applicable, ATTACH a foreign phytosanitary certificate for foreign origin processed products 2. GIVE the copies to the exporter, shipper, or broker
Part 2—Shipper's Copy (white)	
Part 3—Record Copy (white) ¹	1. ATTACH any pertinent information for that specific shipment ² 2. SEND the record copy to your supervisor, Export Certification Specialist (ECS), or State Plant Health Director (SPHD) (to whom and when to send record copies is established by the ECS and SPHD. A rule-of-thumb is on a weekly basis gather and send forward copies of issued certificates)
Part 4—Issuing Office Copy (white)	1. ATTACH any pertinent information for that specific shipment ² 2. RECORD issuance on the Export Certification Record (see <i>Special Procedures</i> , User Fees on page 6-15-1) 3. FILE at the issuing office

1 ACOs using a Feb. 2001 edition of PPQ Form 578 must make an extra copy for proper distribution. Part 3 is sent forward, while the photocopy serves as the issuing office copy.

2 Such as application, foreign phytosanitary certificate, continuation sheets (see [Continuation Sheets](#) on **page 5-1-7**). Attach to the Issuing Office copy an invoice or bill of lading that would substantiate the shipment's value in case of an audit.

Maintenance

As with any accountable government form, certificates **must** be maintained following established policy and operational guidelines. This includes guidelines established for the following offices:

- ◆ [Issuing Office](#)
- ◆ [Export Certification Specialist Office](#)

Issuing Office

Issuing offices retain the Issuing Office Copy of PPQ Form 578 for 3 years. After 3 years, destroy these copies by incinerating or shredding.



USDA-APHIS-PPQ Plant Inspection Stations and designated CITES ports retain the Issuing Office copies of PPQ Form 578 for 5 years for *protected plant material*. This is to maintain consistency with existing requirements to retain CITES/ESA documents and associated paperwork for 5 years.

Issuing office copies of PPQ 578 should be filed and maintained in numerical order by the certificate's accountability number along with the following, if applicable:

- ◆ Attachments to original (such as continuation sheets)
- ◆ Correspondence
- ◆ Invoice or bill of lading that would substantiate the shipment's value in case of an audit
- ◆ Inspection results (if applicable)
- ◆ Foreign phytosanitary certificate
- ◆ PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export
- ◆ State phytosanitary certificate
- ◆ Documentation on processing

Export Certification Specialist Office

ECSs retain photocopies of PPQ Form 578 until the forms are reviewed. ECSs are responsible for reviewing certificates to detect errors. See Procedures, Preparation, Roles and Responsibilities, [**Review Guidelines for Certificates**](#) on **page 6-12-1**.

Example of PPQ Form 578, Export Certificate, Processed Plant Products

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0052. The time required to complete this information collection is estimated to average .03 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

FORM APPROVED
OMB NO. 0579-0052

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

EXPORT CERTIFICATE
PROCESSED PLANT PRODUCTS

FOR OFFICIAL USE ONLY

PLACE **SAMPLE**

DATE:

NUMBER: **P 340042**

NAME AND ADDRESS OF EXPORTER

SAMPLE

NAME AND ADDRESS OF CONSIGNEE

SAMPLE

MEANS OF CONVEYANCE

POINT OF ENTRY

DESCRIPTION OF CONSIGNMENT

PRODUCT (Kind, Quantity, and Weight)

SAMPLE

SAMPLE


IDENTIFICATION

SAMPLE

ORIGIN

WARNING: Any alteration, forgery, or unauthorized use of this certificate is subject to civil penalties of up to \$250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than \$10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).

This is to affirm that, based upon inspection of submitted samples and/or by virtue of processing received, the plant products described above are believed to be free from injurious plant pests.

 **SAMPLE**

NAME OF AUTHORIZED OFFICER

SAMPLE

SIGNATURE

No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.

PPQ FORM 578 SEP 2001 Previous edition dated FEB 2001 may be used.

PART 1 - SHIPPER'S ORIGINAL

FIGURE 5-3-1: Example of PPQ Form 578, Export Certificate, Processed Plant Products

